

GRANT PROJECT CHECKLIST

“The Grant Process Step by Step”

This checklist is designed to help Project Coordinators keep track of all the necessary steps toward completing an HPF grant project. Depending on the precise nature of any given project, additional steps may be required beyond those listed below. Project Coordinators are encouraged to review the Steps, Appendices, and Exhibits referenced for each phase of the grant process and check the box as each activity is completed.

GRANT ACCEPTANCE AND PROJECT INITIATION -- Refer to:

- Step 1:** State Historic Preservation Officer Offers Grant Funding
- Step 2:** Subgrantee Accepts Grant Award and Conditions
- Step 3:** Subgrantee Attends “Start-Up Meeting”
- Step 4:** Subgrantee Completes State Grant Agreement Contract
- Appendix A:** Conditions and Certifications
- Appendix F:** Fiscal Requirements
- Appendix I:** Protective Covenants and Public Access Requirements (for Development projects only)
- Appendix K:** Federal Requirements for Principal Investigators
- Exhibit 4:** Sample Covenant (for Development projects only)

Formal Acceptance of Grant Award

- Subgrantee reads grant Award Letter, Project Notification, federal forms, and covenant requirements
- Subgrantee submits formal letter accepting terms and conditions of grant award
- Subgrantee submits signed General Grant Conditions form
- Subgrantee submits signed Construction Assurances or Non-construction Assurances form
- Subgrantee submits completed DNR Subrecipient Information Sheet
- Subgrantee submits completed W-9 and Direct Deposit Authorization forms (if necessary)
- Subgrantee completes Bidder Registration with the Indiana Dept. of Administration (if necessary)
- Subgrantee electronically signs the State of Indiana Grant Agreement Contract (the execution of the contract may be completed later in the process, but is required for creation of a purchase order for grant payments)

Grant Project Start-up Meeting

- DHPA Grants Staff schedules start-up meeting after subgrantee submits acceptance letter and forms
- Subgrantee reviews *HPF Grants Manual*, Award Letter, and Project Notification prior to start-up meeting
- Subgrantee prepares list of questions for DHPA Grants Staff prior to start-up meeting
- Subgrantee attends start-up meeting at DHPA or site of Development/Rehabilitation project

Development/Rehabilitation Projects: Project Sign, Covenant, Plans & Specifications

- Subgrantee posts NPS/DNR sign at rehabilitation project site for the duration of the grant period
- Subgrantee provides DHPA Grants Staff with legal description of property boundary from deed
- DHPA Grants Staff prepares draft covenant document and sends it to subgrantee for review
- Subgrantee reviews draft covenant document
- (If necessary)*
 - Subgrantee notifies DHPA Grants Staff of any errors or necessary revisions to covenant document
 - DHPA Grants Staff makes revisions to covenant and sends it to subgrantee for final review
- Subgrantee approves covenant document—please do not print or sign, the DHPA will provide copies
- DHPA Grants Staff prepares finalized covenant and mails two copies to subgrantee
- Subgrantee signs two copies of approved covenant document, legally records covenant with County Clerk
- Subgrantee returns one copy of recorded covenant to DHPA Grants Staff, keeps one copy
- If Design Services will be included in grant costs, see section on **Procurement** for required procedures**
- Subgrantee or architect submits drawings, plans, specifications for work to DHPA for review
- DHPA architecture specialist reviews plans and specifications and responds with questions, clarifications
- (If necessary)*
 - Subgrantee or architect revises plans and specs and resubmits to DHPA for approval
- Plans and specifications are approved for bidding, see Procurement for hiring contractors

PROCUREMENT

Refer to:

Step 5: Beginning Work

Appendix B: Procurement

Preparation of Bidding Document and Solicitation of Bids

- Subgrantee reviews *HPF Grants Manual*, Appendix B: Procurement
- Subgrantee prepares draft bidding document with all required parts and federal language
- Subgrantee mails, faxes, or e-mails draft bidding document to DHPA Grants Staff for review
(If necessary)
 - DHPA Grants Staff notifies subgrantee of any required revisions or corrections
 - Subgrantee addresses correction items in bidding documents
 - Subgrantee mails, faxes, or e-mails revised bidding document to DHPA Grants Staff for review
- DHPA Grants Staff approves bidding document, notifies subgrantee in writing
- Subgrantee sends approved bidding document via certified mail to minimum of five potential contractors
- Subgrantee retains signed return receipt cards from invitation to bid mailings

Preparation of Newspaper Advertisements (required for any procurements of \$100,000 or more)

- Subgrantee prepares draft newspaper ad with all required parts and federal language
- Subgrantee mails, faxes, or e-mails draft newspaper advertisement to DHPA Grants Staff for review
(If necessary)
 - DHPA Grants Staff notifies subgrantee of any required revisions or corrections
 - Subgrantee addresses correction items in newspaper advertisement
 - Subgrantee mails, faxes, or e-mails revised newspaper advertisement to DHPA Grants Staff for review
- DHPA Grants Staff approves newspaper advertisement, notifies subgrantee in writing
- Subgrantee sends newspaper advertisement to run in selected regional newspaper(s) as required

Preparation of Contract Documents

- Subgrantee prepares draft contract document with all required parts and federal language
- Subgrantee mails, faxes, or e-mails draft contract document to DHPA Grants Staff for review
(If necessary)
 - DHPA Grants Staff notifies subgrantee of any required revisions or corrections
 - Subgrantee addresses correction items in contract document
 - Subgrantee mails, faxes, or e-mails revised contract document to DHPA Grants Staff for review
- DHPA Grants Staff approves contract document, notifies subgrantee in writing
(If necessary)
 - Subgrantee repeats all steps above for second procurement opportunity
 - Subgrantee repeats all steps above for third procurement opportunity

Selecting and Hiring the Contractor

- Subgrantee holds bid opening
- Subgrantee chooses contractor according to its own selection guidelines (board meeting, RFQ, etc.)
- Subgrantee assembles “request to hire” packet (see Appendix B) and submits it to DHPA Grants Staff
- DHPA Grants Staff reviews request to hire packet, approves contractor selection, notifies subgrantee
- Subgrantee finalizes contract document by inserting contractor name and price into approved draft
- Subgrantee signs contract document and sends it to contractor for signature
- Subgrantee sends copy of signed contract document to DHPA Grants Staff

Change Orders

(If necessary)

- Subgrantee submits any “change orders” or contract revisions to DHPA for prior review and approval
- DHPA Grants Staff reviews change order requests, approves change orders, notifies subgrantee
- Subgrantee formally accepts change orders from contractor

PROGRESS REPORTING

Refer to:

Step 6: Work Proceeds

Step 7: Changes

Appendix C: Preparing Progress Reports

Exhibit 1: Subgrantee Progress Report

- Subgrantee submits progress report for the period April 1 to June 30-- due by July 10
 - Subgrantee submits progress report for the period July 1 to September 30-- due by October 10
 - Subgrantee submits progress report for the period October 1 to December 31 -- due by January 10
 - Subgrantee submits progress report for the period January 1 to March 31-- due by April 10
 - Subgrantee submits progress report for the period April 1 to June 30-- due by July 10
- (If necessary)*
- Subgrantee advises DHPA of any problems that may affect project budget, timetable, or scope of work
 - Subgrantee submits written request for amendment to project budget, timetable, or scope of work
 - DHPA Grants Staff considers request for amendment to project budget, timetable, or scope of work

REIMBURSEMENT INVOICES

Refer to:

Step 6: Work Proceeds

Appendix D: Preparing Reimbursement Invoices

Appendix E: Allowable and Unallowable Costs

Appendix F: Fiscal Requirements

Exhibit 2: Reimbursement Invoice Form

Exhibit 3: Time Work Record

- Subgrantee organizes documentation, submits first reimbursement invoice
 - DHPA Grants Staff processes invoice paperwork, mails deposit confirmation to subgrantee (about forty-five (45) days)
 - Subgrantee organizes documentation, submits second reimbursement invoice
 - DHPA Grants Staff processes invoice paperwork, mails deposit confirmation to subgrantee (about forty-five (45) days)
 - Subgrantee organizes documentation, submits subsequent reimbursement invoices
 - DHPA Grants Staff processes invoice paperwork, mails deposit confirmation to subgrantee (about forty-five (45) days)
- (If necessary)*
- DHPA Grants Staff withholds final 15% of grant amount until completed project is approved
 - Subgrantee completes Entity Annual Report (Form E-1) (SF54402) and submits to Auditor of State (report federal funds based on Subgrantee Fiscal Year, may need to submit two Reports)

PRESS RELEASES OR OTHER PUBLICITY (i.e. Newsletter Articles, Websites, etc.) (Optional)

Refer to:

Appendix G: Press Releases and Publicity Statements

Appendix H: Acknowledgment of State and Federal Assistance for HPF Grant Products

- Subgrantee prepares draft of press release/publicity item including required federal acknowledgment
- Subgrantee mails, faxes, or e-mails draft press release/publicity item to DHPA Grants Staff for review
- Subgrantee receives input from DHPA Grants Staff, makes revisions and corrections as needed
- Subgrantee mails, faxes, or e-mails revised press release/publicity item to DHPA Grants Staff for review
- Subgrantee receives approval of press release/publicity item from DHPA Grants Staff
- Subgrantee sends press release to local media or uses in its own publications

CONGRESSIONAL NOTIFICATION LETTERS

Refer to:

Appendix J: Congressional Notification Letter Requirements

- Subgrantee prepares congressional notification letter according to instructions in Appendix J
- Subgrantee sends congressional notification letter to U.S. Representative(s) Indiana district office(s)
- Subgrantee sends congressional notification letter to both U.S. Senators Indiana offices
- Subgrantee sends copies of each letter (three (3) total) to DHPA Grants Staff for the project file

COMPLETION AND CLOSE-OUT OF GRANT PROJECT

Refer to:

Step 8: Draft Product Submitted for Comment

Step 9: Final Product Submitted for Approval

Step 10: Final Claim Submitted

Step 11: Product Accepted by DHPA

Appendix D: Preparing Reimbursement Requests

Appendix F: Fiscal Requirements

Appendix H: Acknowledgment of State and Federal Assistance for HPF Grant Products

For “Architectural & Historical” and “Archaeological” projects:

- Subgrantee submits draft version of grant product to DHPA Grants Staff for review by draft due date
- DHPA Program Staff requests revisions and corrections
- Subgrantee addresses correction items in draft product
- Subgrantee submits revised/finalized grant product to DHPA Grants Staff for review by project end date
- DHPA Program Staff notifies subgrantee of approval and acceptance of final grant product
- Subgrantee submits final reimbursement request within sixty (60) days of project completion or project end date
- DHPA Grants Staff processes invoice, mails deposit confirmation to subgrantee about forty-five (45) days later
- Subgrantee completes Entity Annual Report (Form E-1) (SF 54402) and submits to Auditor of State (not the DHPA)

For “Acquisition and Development” projects:

- Subgrantee notifies DHPA Grants Staff that project is nearing completion, schedules final site inspection
- Subgrantee reviews punch list with Principal Investigator and contractor(s)
- Subgrantee notifies DHPA Grants Staff that project is 100% complete, with all punch list items addressed
- DHPA Grants and Program Area Staff schedule and conduct final inspection and close-out meeting
- Subgrantee receives written notification of approval and acceptance of final grant product
- Subgrantee submits final reimbursement request within sixty (60) days of project completion or project end date
- DHPA Grants Staff processes invoice, mails deposit confirmation to subgrantee about forty-five (45) days later
- Subgrantee completes Entity Annual Report (Form E-1) (SF 54402) and submits to Auditor of State (not the DHPA)